

# ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB No 0930-0222

FFY 2008



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Substance Abuse and Mental Health Services Administration  
Center for Substance Abuse Prevention  
[www.samhsa.gov](http://www.samhsa.gov)

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## INTRODUCTION

The Annual Synar Report (ASR) format provides the means for States to comply with the reporting provisions of the Public Health Service Act (42 U.S.C. 300x-26) and the Tobacco Regulation for the SAPT Block Grant (45 C.F.R. 96.130 (e)).

Public reporting burden for the collection of information is estimated to average 15 hours for Section I and 3 hours for Section II, including the time for reviewing instructions, completing and reviewing the collection of information, searching existing data sources, and gathering and maintaining the data needed. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to SAMHSA Reports Clearance Officer; Paperwork Reduction Project (#####-#####); 1 Choke Cherry Road, 7<sup>th</sup> Floor Rockville, Maryland 20857

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 10-31-2010.

### How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, States are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2008 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2008 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate State compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist States<sup>1</sup> by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including State Synar Program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and on-site technical assistance consultation.

### How the Synar report can help States

The information gathered for the Synar report can help States describe and analyze sub-State needs for program enhancements. These data can also be used to report to the State legislature and other State and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from State Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of State progress in implementing Synar, including State difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

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<sup>1</sup>The term State is used to refer to all the States and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

## **Getting assistance in completing the Synar report**

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2413 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or e-mail using the directory provided. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (240) 276-1404.

## **Where and when to submit the Synar report**

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2007. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

Submit one signed original of the report, one additional copy, and an electronic version on either CD-ROM or 3.5" diskette to the Grants Management Officer at the address below:

Grants Management Officer  
Office of Program Services, Division of Grants Management  
Substance Abuse and Mental Health Services Administration

### **Regular Mail:**

1 Choke Cherry Road, Rm.7-1103  
Rockville, Maryland 20857

### **Overnight Mail:**

1 Choke Cherry Road, Rm.7-1103  
Rockville, Maryland 20850

## FFY 2008: FUNDING AGREEMENTS/CERTIFICATIONS

The following form must be signed by the Chief Executive Officer or an authorized designee and submitted with this application. Documentation authorizing a designee must be attached to the application.

|  |                              |
|--|------------------------------|
| <b>PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT</b>   |                              |
| 42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below. |                              |
| <b>SYNAR SURVEY SAMPLING METHODOLOGY</b>   |                              |
| The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2005 is up-to-date and approved by the Center for Substance Abuse Prevention.   |                              |
| <b>SYNAR SURVEY INSPECTION PROTOCOL</b>  |                              |
| The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY2005 is up-to-date and approved by the Center for Substance Abuse Prevention.   |                              |
| <b>State:</b><br>Indiana   |                              |
| <b>Name of Chief Executive Officer or Designee:</b><br>Cathy J. Boggs  |                              |
| <b>Signature of CEO or Designee:</b>   |                              |
| <b>Title:</b> Director, Division of Mental Health and<br>Addiction   | <b>Date Signed:</b> 12-21-07 |
| <b>If signed by a designee, a copy of the designation must be attached</b>   |                              |

## SECTION I: FFY 2007(Compliance Progress)

### YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

*42 U.S.C. 300x-26 requires the States to report information regarding the sale/distribution of tobacco products to individuals under age 18.*

1. Please indicate any changes or additions to the State tobacco statute(s) relating to youth access since the last reporting year. Please attach a photocopy of the change(s) in the State law(s) if any was made since the last reporting year. (See 42 U.S.C. 300x-26)

- a. Has there been a change in the *minimum sale age* for tobacco products?

☐ Yes ☒ No

If Yes, current minimum age: ☐ 19 ☐ 20 ☐ 21

- b. Have there been any changes in State law that impact the State's *protocol for conducting Synar inspections*? ☐ Yes ☒ No

If Yes, indicate change (check all that apply):

☐ Changed to require that law enforcement conduct inspections of tobacco outlets

☐ Changed to make it illegal for youth to possess, purchase or receive tobacco

☐ Changed to require ID to purchase tobacco

☐ Other change(s) (please describe): \_\_\_\_\_

- c. Have there been any changes in the law concerning *vending machines*?

☐ Yes ☒ No

If Yes, indicate change (check all that apply):

☐ Total ban enacted

☐ Banned from location(s) accessible to youth

☐ Locking device or supervision required

☐ Other change(s) (please describe): \_\_\_\_\_

- d. Have there been any changes in State law that impact the following?

Licensing of tobacco vendors ☐ Yes ☒ No

Penalties for sales to minors ☐ Yes ☒ No

2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) and the State Plan (see 42 U.S.C. 300x-51) were made public within the State prior to submission of the ASR. (Check all that apply)

☒ Placed on file for public review

☒ Posted on a State agency Web site (please provide exact web address)

☐ Notice published in a newspaper or newsletter

- ☐ Public hearing
- ☐ Announced in a news release, a press conference, or discussed in a media interview
- ☒ Distributed for review as part of the SAPT Block Grant application process
- ☐ Distributed through the public library system
- ☐ Published in an annual register
- ☒ Other change(s) (*please describe*): The report is published and distributed to all stakeholders following acceptance of the data by SAMHSA/CSAP.

**3. Identify the following agency or agencies. (See 42 U.S.C. 300x-26 and 45 C.F.R. 96.130)**

**a. The State agency(s) designated by the Governor for oversight of the Synar requirements:**

Indiana Family and Social Services Administration - Division of Mental Health and Addiction

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

**b. The State agency(s) responsible for conducting random, unannounced Synar inspections:**

Indiana Alcohol and Tobacco Commission - State Excise Police through a Memorandum of Understanding with the Division of Mental Health and Addiction

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

**c. The State agency(s) responsible for enforcing youth tobacco access law(s):**

Indiana Alcohol and Tobacco Commission - State Excise Police

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

**4. Identify the State agency(s) responsible for tobacco prevention activities.**

Indiana Tobacco Prevention and Cessation Agency

Has the responsible agency changed since last year's Annual Synar Report?

☐ Yes ☒ No

**a. Describe the coordination and collaboration that occur between the agency responsible for tobacco prevention and the agency responsible for oversight of the Synar requirements. The two agencies (*check all that apply*):**

- ☐ Are the same
- ☐ Have a formal written memorandum of agreement
- ☒ Have an informal partnership
- ☐ Conduct joint planning activities
- ☐ Combine resources
- ☐ Have other collaborative arrangement(s) (*please describe*): \_\_\_\_\_

5. Please answer the following questions regarding the State's activities to enforce the youth access to tobacco law(s) in FFY 2007. (See 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e))

a. Which one of the following describes the enforcement of youth access to tobacco laws carried out in your State? (Check one category only)

- ☐ Enforcement is conducted exclusively by local law enforcement agencies.
- ☐ Enforcement is conducted exclusively by State agency(s).
- ☒ Enforcement is conducted by both local and State agencies.

b. The following items concern penalties imposed for violations of youth access to tobacco laws by **LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES**. Please fill in the number requested. If State law does not provide for tobacco retailer license/permit suspension or revocation, please mark "NA".

| PENALTY                                     | OWNERS | CLERKS | TOTAL  |
|---|--------|--------|--------|
| Number of <u>citations issued</u>           | 1,060  | 717    | 1,777  |
| Number of <u>finest assessed</u>            | 55,250 | 38,750 | 94,000 |
| Number of <u>permits/licenses suspended</u> | 0      |        | 0      |
| Number of <u>permits/licenses revoked</u>   | 0      |        | 0      |
| Other (please describe):                    |        |        |        |

c. What additional activities are conducted in your State to support enforcement and compliance with State tobacco access law(s)? (Check all that apply)

- ☐ Merchant education and/or training
- ☐ Incentives for merchants who are in compliance (e.g., Reward and Reminder)
- ☒ Community education regarding youth access laws
- ☐ Media use to publicize compliance inspection results
- ☒ Community mobilization to increase support for retailer compliance with youth access laws
- ☒ Other activities (please list): Signage concerning the minimum age (18) for tobacco purchases in tobacco retail sales sites is provided by the Indiana State Excise Police.

*Briefly describe all checked activities:* Community prevention/awareness efforts are provided by the Indiana Prevention Resource Center at Indiana University (Bloomington) utilizing funding from a contract with the Division of Mental Health and Addiction.



- d. Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey?    ☒ Yes    ☐ No
- e. If “Yes” to 5.d., please describe the State’s procedure for minimizing risk of bias to the survey results: Yes, fines are administered to store owners and to the clerk who sold tobacco to minors. However, the only data that are used in the Synar Report are the results of inspections done in stores that had not been inspected in the previous two months. Officers conduct inspections 12 months per year. Most have been doing inspections for several years and are aware of the areas that have set up "phone trees" in which store owners warn one-another. Officers will normally only do one or two inspections in such an area and move on to another area. Stores of the same chain are also avoided during an inspection outing to avoid similar problems of advance warning.

### SYNAR SURVEY METHODS AND RESULTS

*The following questions pertain to the survey methodology and results of the Synar survey used by the State to meet the requirements of the Synar Regulation in FFY 2008. (See 42 U.S.C. 300x-26 and 45 C.F.R. 96.130)*

**6. Has the sampling methodology changed from the previous year?**

☐ Yes    ☒ No

*The State is required to have an approved up-to-date description of the Synar sampling methodology on file with CSAP. Please submit a copy of your Synar Survey Sampling Methodology (Appendix B). If the sampling methodology changed from the previous reporting year, these changes must be reflected in the methodology submitted.*

**7. Please answer the following questions regarding the State’s annual random, unannounced inspections of tobacco outlets. (See 45 C.F.R. 96.130(d)(2))**

**a. Did the State use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data?**

☒ Yes    ☐ No

*If Yes, attach SSES summary tables 1, 2, 3 and 4 and go to Question 8. If No, continue to Question 7b.*

**b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, and the standard error.**

**Unweighted RVR**

\_\_\_\_\_

**Weighted RVR**

\_\_\_\_\_

---

**Standard error (s.e.) of the (weighted) RVR** \_\_\_\_\_

---

**Fill in the blanks to calculate the right limit of the right-sided 95% confidence interval.**

$$\underline{\text{RVR Estimate}} \quad + \quad \frac{(1.645 \times \underline{\text{Standard Error}})}{(1.645 \text{ times})} \quad = \quad \underline{\text{Right Limit}}$$

**c. Fill out Form 1 in Appendix A (Forms).** *(Required regardless of the sample design)*

**d. How were the (weighted) RVR estimate and its standard error obtained?**  
*(Check the one that applies)*

- ☐ Form 2 (Optional) in Appendix A (Forms) *(Attach completed Form 2)*  
☐ Other *(Please specify. Provide formulae and calculations or attach and explain the program code and output with description of all variable names.)*

**e. If stratification was used, did any strata in the sample contain only one outlet or cluster this year?**

☐ Yes   ☐ No   ☐ No stratification

*If Yes, explain how this situation was dealt with in variance estimation.*

**f. Was a cluster sample design used?**

☐ Yes   ☐ No

*If No, go to Question 7g.*

*If Yes, fill out and attach Form 3 in Appendix A (Forms), and answer the following question:*

**Were any certainty primary sampling units selected this year?**

☐ Yes   ☐ No

*If Yes, explain how the certainty clusters were dealt with in variance estimation.*



- c. **Fill out and attach Form 5 in Appendix A (Forms).** *(Not required if the State used the Synar Survey Estimation System (SSES) to analyze the Synar survey data)*

## SECTION II: FFY 2008 (Intended Use):

*Public law 42 U.S.C. 300x-26 of the Public Health Service Act and 45 C.F.R. 96.130 (e) (4, 5) require that the States provide information on future plans to ensure compliance with the Synar requirements to reduce youth tobacco access.*

### 1. In the upcoming year, does the State anticipate any changes in the:

Synar sampling methodology ☐ Yes ☒ No

Synar inspection protocol ☐ Yes ☒ No

*If changes are made in either the Synar sampling methodology or the Synar inspection protocol, the State is required to obtain approval from CSAP prior to implementation of the change and file an updated Synar Survey Sampling Methodology (Appendix B) or an updated Synar Survey Inspection Protocol (Appendix C), as appropriate.*

### 2. Please describe the State's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2008. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.

Prevention/awareness statewide activities regarding tobacco use by youth will continue to be funded through a contract with the Indiana Prevention Resource Center and the Division of Mental Health and Addiction's (DMHA) Afternoons R.O.C.K. in Indiana model. Afternoons R.O.C.K. in Indiana is a statewide alcohol, tobacco and other drug prevention after school program for middle school aged youth. The State is divided into 14 Defined Service Areas (DSA's) and DMHA has contracts with 8 Primary Contractors who operate the 14 DSA's. The Alcohol and Tobacco Commission/Indiana State Excise Police will continue to address youth tobacco sales to minors through their Tobacco Retailer Inspection Program (TRIP). The TRIP program is designed to systematically monitor the effectiveness of tobacco retail compliance with Indiana's laws to restrict the sales and distribution of tobacco products to minors. The activities have increased the awareness of youth tobacco use by minors and, as a result, have reduced the availability and use of tobacco by youth in Indiana.

### 3. Describe any challenges the State faces in complying with the Synar regulation. (Check all that apply)

- ☒ Limited resources for law enforcement of youth access laws
- ☒ Limited resources for activities to support enforcement and compliance with youth tobacco access laws
- ☐ Limitations in the State youth tobacco access laws
- ☐ Limited public support for enforcement of youth tobacco access laws
- ☐ Limitations on completeness/accuracy of list of tobacco outlets
- ☐ Limited expertise in survey methodology
- ☐ Laws/regulations limiting the use of minors in tobacco inspections

- ☐ Difficulties recruiting youth inspectors
  - ☐ Geographic, demographic, and logistical considerations in conducting inspections
  - ☐ Cultural factors (e.g., language barriers, young people purchasing for their elders)
  - ☐ Issues regarding sources of tobacco under tribal jurisdiction
  - ☐ Other challenges (*please list*): \_\_\_\_\_
- 

*Briefly describe all checked challenges and propose a plan for each, or indicate the State's need for TA related to each relevant challenge:*

While the Indiana State Excise Police continues to enforce youth tobacco use laws through the TRIP program and assist in the Synar study through an Memorandum of Understanding with the Division of Mental Health and Addiction, all State funding remains tight.

## **APPENDIX A: FORMS**

**SSES Table 1 (Synar Survey Estimates and Sample Sizes)****CSAP-SYNAR REPORT**

|                           |                         |
|---------------------------|-------------------------|
| State                     | IN                      |
| Federal Fiscal Year (FFY) | 2007                    |
| Date                      | 11/30/2007 16:34        |
| Data                      | Inspections 2007.xls    |
| Analysis Option           | Stratified SRS with FPC |

**Estimates**

|                                      |                |
|--------------------------------------|----------------|
| Unweighted Retailer Violation Rate   | 14.7%          |
| Weighted Retailer Violation Rate     | 14.7%          |
| Standard Error                       | 0.2%           |
| Is SAMHSA Precision Requirement met? | YES            |
| Right-sided 95% Confidence Interval  | [0.0%, 15.1%]  |
| Two-sided 95% Confidence Interval    | [14.3%, 15.1%] |
| Design Effect                        | 1.0            |
| Accuracy Rate (unweighted)           | 100.0%         |
| Accuracy Rate (weighted)             | 100.0%         |
| Completion Rate (unweighted)         | 100.0%         |

**Sample Size for Current Year**

|                              |       |
|------------------------------|-------|
| Effective Sample Size        | 254   |
| Target (Minimum) Sample Size | 254   |
| Original Sample Size         | 3,927 |
| Eligible Sample Size         | 3,927 |
| Final Sample Size            | 3,927 |
| Overall Sampling Rate        | 85.3% |

STATE: IN



**SSES Table 2 (Synar Survey Results by Stratum and by OTC/VM)**

FFY: 2007

| Samp. Stratum                   | Var. Stratum | Outlet Frame Size | Estimated Outlet Population Size | Number of PSU Clusters Created | Number of PSU Clusters in Sample | Outlet Sample Size | Number of Eligible Outlets in Sample | Number of Sample Outlets Inspected | Number of Sample Outlets in Violation | Retailer Violation Rate(%) | Standard Error(%) |
|---------------------------------|--------------|-------------------|----------------------------------|--------------------------------|----------------------------------|--------------------|--------------------------------------|------------------------------------|---------------------------------------|----------------------------|-------------------|
| <b>All Outlets</b>              |              |                   |                                  |                                |                                  |                    |                                      |                                    |                                       |                            |                   |
| 1                               | 1            | 4,605             | 4,605                            | N/A                            | N/A                              | 3,927              | 3,927                                | 3,927                              | 578                                   | 14.7%                      |                   |
| Total                           |              | 4,605             | 4,605                            |                                |                                  | 3,927              | 3,927                                | 3,927                              | 578                                   | 14.7%                      | 0.2%              |
| <b>Over the Counter Outlets</b> |              |                   |                                  |                                |                                  |                    |                                      |                                    |                                       |                            |                   |
| 1                               | 1            | 4,605             | 4,605                            | N/A                            | N/A                              | 3,927              | 3,927                                | 3,927                              | 578                                   | 14.7%                      |                   |
| Total                           |              | 4,605             | 4,605                            |                                |                                  | 3,927              | 3,927                                | 3,927                              | 578                                   | 14.7%                      | 0.2%              |
| <b>Vending Machines</b>         |              |                   |                                  |                                |                                  |                    |                                      |                                    |                                       |                            |                   |
| 1                               | 1            | 0                 | 0                                | N/A                            | N/A                              | 0                  | 0                                    | 0                                  | 0                                     | 0.0%                       |                   |
| Total                           |              | 0                 | 0                                |                                |                                  | 0                  | 0                                    | 0                                  | 0                                     | 0.0%                       | 0.0%              |

STATE: IN

**SSES Table 3 (Synar Survey Sample Tally Summary)**

FFY: 2007

| Disposition Code              | Description  | Count | Subtotal |
|-------------------------------|--|-------|----------|
| EC                            | Eligible and inspection complete outlet                | 3927  |          |
| Total (Eligible Completes)    |  |       | 3927     |
| N1                            | In operation but closed at time of visit               | 0     |          |
| N2                            | Unsafe to access                                       | 0     |          |
| N3                            | Presence of police                                     | 0     |          |
| N4                            | Youth inspector knows salesperson                      | 0     |          |
| N5                            | Moved to new location but not inspected                | 0     |          |
| N6                            | Drive thru only/youth inspector has no drivers license | 0     |          |
| N7                            | Tobacco out of stock                                   | 0     |          |
| N8                            | Run out of time  | 0     |          |
| N9                            | Other noncompletion                                    | 0     |          |
| Total (Eligible Noncompletes) |  |       | 0        |
| I1                            | Out of Business  | 0     |          |
| I2                            | Does not sell tobacco products                         | 0     |          |
| I3                            | Inaccessible by youth                                  | 0     |          |
| I4                            | Private club or private residence                      | 0     |          |
| I5                            | Temporary closure                                      | 0     |          |
| I6                            | Unlocatable  | 0     |          |
| I7                            | Wholesale only/Carton sale only                        | 0     |          |
| I8                            | Vending machine broken                                 | 0     |          |
| I9                            | Duplicate  | 0     |          |
| I10                           | Other ineligibility                                    | 0     |          |
| Total (Ineligibles)           |  |       | 0        |
| Grand Total                   |  |       | 3927     |

**SSES Table 4 (Synar Survey Inspection Results by Youth Inspector Characteristics)**

STATE: IN  
FFY: 2007

**Frequency Distribution**

| Gender      | Age      | Number of Inspectors | Attempted Buys | Successful Buys |
|-------------|----------|----------------------|----------------|-----------------|
| Male        | 14       | 0                    | 0              | 0               |
|             | 15       | 3                    | 293            | 41              |
|             | 16       | 6                    | 594            | 85              |
|             | 17       | 7                    | 821            | 149             |
|             | 18       | 0                    | 0              | 0               |
|             | Subtotal | 16                   | 1708           | 275             |
| Female      | 14       | 0                    | 0              | 0               |
|             | 15       | 3                    | 230            | 42              |
|             | 16       | 14                   | 952            | 124             |
|             | 17       | 3                    | 1037           | 137             |
|             | 18       | 0                    | 0              | 0               |
|             | Subtotal | 20                   | 2219           | 303             |
| Other       |          | 0                    | 0              | 0               |
| Grand Total |          | 36                   | 3927           | 578             |

**Buy Rate in Percent by Age and Gender**

| Age   | Male  | Female | Total |
|-------|-------|--------|-------|
| 14    | 0.0%  | 0.0%   | 0.0%  |
| 15    | 14.0% | 18.3%  | 15.9% |
| 16    | 14.3% | 13.0%  | 13.5% |
| 17    | 18.1% | 13.2%  | 15.4% |
| 18    | 0.0%  | 0.0%   | 0.0%  |
| Other |       |        | 0.0%  |
| Total | 16.1% | 13.7%  | 14.7% |

## APPENDIX B

STATE: Indiana  
FFY: 2008

### SYNAR SURVEY SAMPLING METHODOLOGY

**1. What type of sampling frame is used?**

- ☒ List frame *(Go to Question 2)*  
☐ Area frame *(Go to Question 3)*  
☐ List-assisted area frame *(Go to Question 2)*

**2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). *(After completing this question, go to Question 4)***

*Use the corresponding number to indicate Type of Source in the table below:*

- |   |  |
|---|--|
| 1 – Statewide commercial business list    | 4 – Statewide retail license/permit list |
| 2 – Local commercial business list        | 5 – Statewide liquor license/permit list |
| 3 – Statewide tobacco license/permit list | 6 – Other                                |

| Name of Frame Source | Type of Source | Description         | Updating Method and Cycle |
|----------------------|----------------|---------------------|---------------------------|
| Excise List          | 3              | Tobacco Permit List | Annual Renewal Needed     |
|                      |                |                     |                           |
|                      |                |                     |                           |
|                      |                |                     |                           |
|                      |                |                     |                           |

**3. If an area frame is used, describe how area sampling units are defined and formed.**

- a. Is any area left out in the formation of the area frame?**    ☐ Yes    ☐ No

*If Yes, what percentage of the State's population is not covered by the area frame?*

\_\_\_\_\_ %

**4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey?**

☐ Yes ☒ No

*If No, please indicate the reason they are not included in the Synar survey.*

- ☐ State law bans vending machines
- ☒ State law bans vending machines from locations accessible to youth
- ☐ State has SAMHSA approval to exempt vending machines from the survey
- ☐ Other (please describe): \_\_\_\_\_
- \_\_\_\_\_

**5. Which category below best describes the sample design? (Check only one)**

☒ **Census** (*STOP HERE: Appendix B is complete*)

**Unstratified State-wide sample:**

- ☐ Simple random sample (*go to Question 9*)
- ☐ Systematic random sample (*go to Question 6*)
- ☐ Single-stage cluster sample (*go to Question 8*)
- ☐ Multi-stage cluster sample (*go to Question 8*)

**Stratified sample:**

- ☐ Simple random sample (*go to Question 7*)
- ☐ Systematic random sample (*go to Question 6*)
- ☐ Single-stage cluster sample (*go to Question 7*)
- ☐ Multi-stage cluster sample (*go to Question 7*)

☐ **Other** (please describe and go to Question 9): \_\_\_\_\_

\_\_\_\_\_

**6. Describe the systematic sampling methods.** (*After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.*)

**7. Provide the following information about stratification**

**a. Provide a full description of the strata that are created.**

**b. Is clustering used within the stratified sample?**

☐ **Yes** *(go to Question 8)*

☐ **No** *(go to Question 9)*

**8. Provide the following information about clustering**

**a. Provide a full description of how clusters are formed.** *(If multi-stage clusters are used, give definitions of clusters at each stage.)*

**b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.**

**9. Provide the formulae for determining the effective, target, and original outlet sample sizes.**

## APPENDIX C

STATE: Indiana

FFY: 2008

### SYNAR SURVEY INSPECTION PROTOCOL

*Note: Attach a copy of the inspection form and protocol used to record the inspection result.*

**1. How does the State Synar survey protocol address the following?**

**a. Consummated buy attempts?**

- ☒ Required ☐ Not Permitted  
☐ Permitted under specified circumstances ☐ Not specified in protocol

**b. Youth inspectors to carry ID?**

- ☐ Required ☒ Not Permitted  
☐ Permitted under specified circumstances ☐ Not specified in protocol

**c. Adult inspectors to enter the outlet?**

- ☒ Required ☐ Not Permitted  
☐ Permitted under specified circumstances ☐ Not specified in protocol

**d. Youth inspectors to be compensated?**

- ☒ Required ☐ Not Permitted  
☐ Permitted under specified circumstances ☐ Not specified in protocol

**2. Identify the agency(s) or entity(s) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply)**

- ☒ Law enforcement agency(s)  
☐ State or local government agency(s) other than law enforcement  
☐ Private contractor(s)  
☐ Other

List the agency name(s): The Indiana Excise Police of the Indiana Alcohol and Tobacco Commission contract with local law enforcement officers who conduct the inspections.

**3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement issue warnings or citations to retailers found in violation of the law at the time of the inspection)?**

- ☒ Always ☐ Usually ☐ Sometimes ☐ Rarely ☐ Never

**4. Describe the methods used to recruit, select, and train youth inspectors and adult supervisors.**

Adult supervisors are recruited by the local police officers. Youth are recruited by the Indiana Prevention Resource Center at Indiana University through High Schools throughout Indiana. The local officers use a standard manual and materials to conduct a one-hour training session with the adults and youth before conducting the inspections. These training sessions are usually held in the home of the youth to allow parents to fully understand the program and get to know the officer and adult monitors.

**5. Are there specific legal or procedural requirements instituted by the State to address the issue of youth inspectors' immunity when conducting inspections?**

**a. Legal**                      ☒ **Yes**                      ☐ **No** (*If Yes, please describe*):

A 1996 Indiana State law (IC 7.1-6-2-4) allows a juvenile to work in youth tobacco access law enforcement inspections under the supervision of a law enforcement officer while retaining immunity from prosecution.

**b. Procedural**                      ☒ **Yes**                      ☐ **No** (*If Yes, please describe*):

Before beginning the inspections, the youth leave their identification with the adult monitor. At each retail outlet, the adult monitor remains in the vehicle, keeping the inspecting youth in sight at all times in case a problem occurs, and the youth needs the adult monitor's assistance. The adult monitor observes the exterior of the store, verifying the outlet's name and address and noting any corrections in this information on the Inspection Form. The Excise Officer enters the store first and is in place to unobtrusively witness the attempted purchase of a tobacco product by the inspecting youth. The youth, who is not carrying identification or proof of age, enters the store. If the youth recognizes anyone in the store (besides the Excise Officer), he/she is instructed to immediately exit the store and arrangements will be made to come back to the establishment at another time. If there are any problems, the youth is to notify the Excise Officer immediately and/or leave the store. While it is highly unlikely that any kind of adverse incident or emergency will occur, a safety procedure is included in the training session to ensure the safety of the youth and adult monitors. If the inspection is to proceed, the youth requests a popular tobacco product, cigarettes, cigars, smokeless tobacco, or other, from the clerk. If the tobacco products are accessible on the counter, the youth selects the tobacco product and places it on the counter to purchase it. If the clerk asks the youth for proof of age, the youth answers truthfully that he/she does not have proof of age or any identification. If the clerk completes the sale the youth takes the tobacco and exits the store, returning directly to the team vehicle. The Excise Officer follows at a discrete distance. Youth are instructed to answer any questions posed by the clerk truthfully. The youth are instructed not to pressure the clerk to sell in any way. The adult monitor watches for the youth to exit the store. The youth must be under the watch of and



visible to the Excise Officer and/or the adult monitor at all times. Once the Excise Officer returns to the vehicle, the youth assists the officer in completing the Tobacco Retail Outlet Inspection Form. The Excise Officer returns to the clerk and issues an Excise "Notice of Violation" for the clerk and the store owner. Both the clerk and the store owner are fined by the prosecutor of the Alcohol and Tobacco Commission.

**6. Are there specific legal or procedural requirements instituted by the State to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?**

**a. Legal** ☐ Yes ☒ No (If Yes, please describe):

**b. Procedural** ☒ Yes ☐ No (If Yes, please describe):

Study participants in rural areas are assigned to neighboring counties where possible, with care taken to discontinue inspection visits if the youth is acquainted with someone in the outlet at the time of the inspection to protect the team's anonymity and to avoid a potential confrontation. To further safeguard the safety of juvenile inspectors, a number of instructions are part of the study protocol, including, 1)that youth participants are to be under continual observation by either the adult monitor or the Excise Officer at all times; 2)that if the youth perceives any problems during an inspection, including inappropriate behavior on the part of the clerk or another store employee, he/she is to notify the officer immediately and/or leave the store; 3)that if such an incident occurs, when the youth returns to the vehicle, the monitor is to lock the vehicle doors, and the officer is to intervene with the clerk; and 4)if any emergency or threatening incident occurs, the officer will follow standard police safety procedures and can impose one of several State laws if necessary, including IC 35-45-2-1, Intimidation, IC 35-42-2-2, Harassment, IC 35-45-1-3, Disorderly Conduct, and IC 35-42-2-1, Battery.

**7. Are there any other legal or procedural requirements the State has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?**

**a. Legal** ☐ Yes ☒ No (If Yes, please describe):

**b. Procedural** ☒ Yes ☐ No (If Yes, please describe):

Synar inspections are carried out during non-school hours, both after school in the afternoons and early evenings and on weekends. Strong efforts are made to link female youth with female adult monitors, and strong efforts are also made to recruit youth who "look their age" as well as equal numbers of youth in both genders and age groups (16 and 17).

The Excise Officer precedes the youth when entering inspected outlets. Adult monitors are instructed to enter the establishment with youth only in certain situations, e.g., in a situation in

which the officer is known by store employees or in which the race/ethnicity of the monitor is less likely to draw unusual attention to the team than the race/ethnicity of the officer.

## APPENDIX D

STATE: Indiana  
FFY: 2008

### List Sampling Frame Coverage Study (LIST FRAME ONLY)

**1. Calendar year of the coverage study: 2004**

**2. Percent coverage found: 98.2%**

*(Provide calculation of the percent coverage)*

The percent is calculated by dividing the number of stores actually found to exist along the routes inspected in the coverage study by the sum of

1. the number of stores actually found to exist along the routes inspected in the coverage study (N=114), plus
2. the number of stores that were on the list but were no longer eligible (closed, not selling tobacco, etc.) (N=7), plus
3. the number of eligible stores that were not on the list but were found along the route inspected (N=2).

Eligible stores that had a different name than on the list were not counted as missing since they are normally inspected during Synar visits.

$$\frac{114 - 7}{114 - (7 + 2)} = 98.2\%$$

**3. Provide a description of the coverage study methods and results.**

There were four areas of the state targeted in both urban and rural areas (Indianapolis, Fort Wayne, Martinsville and Edinburgh). A road in each of the areas was identified and all stores on the road were listed in order of street address.

Stores that were on the list but closed were crossed off the list and counted as ineligible. Corporate stores known to sell tobacco and found to exist at the list address were checked off as correctly listed but were not inspected. Listed stores that were not corporate chains were visited to visually determine if they still sold tobacco. Stores found along the route that were not on the list were visited to visually determine if tobacco was for sale. If so, it was added to the list.

# Checklist for Completing the FFY 2008 Annual Synar Report

This checklist is also available for download at [www.samhsa.gov](http://www.samhsa.gov) and has been included electronically on the enclosed CD.

STATE NAME: Indiana

FISCAL YEAR: 2008

Checklist Completed By (Print): David Bozell

Position: Bureau Chief

Telephone Number: 317-232-7868

E-mail Address: David.Bozell@fssa.in.gov

Signed: \_\_\_\_\_

Date: December 26, 2007

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**Check the following items as they have been completed, prior to submission of the Annual Synar Report to SAMHSA/CSAP. Please include a copy of this checklist along with your FFY 2008 Annual Synar Report submission.**

Completion and inclusion of the Checklist for Completing the Annual Synar Report ..... ☒

Inclusion of 1 electronic version of the complete Annual Synar Report..... ☒

Governor's Signature on Funding Agreements/Certifications OR CEO Signature with copy of gubernatorial designation letter and hard copies mailed directly to CSAP SPO..... ☒

Completion of all Annual Synar Report Questions (see below)..... ☒

## Section I: (Compliance Progress)

Question 1 ..... ☒

State Tobacco Legislation..... ☒

Question 2 ..... ☒

Publicizing the Annual Synar Report ..... ☒

Question 3 ..... ☒

Identify Lead Agencies..... ☒

Question 4 ..... ☒

Tobacco Prevention and Control Agency ..... ☒

Coordination and Collaboration with Lead Synar Agency ..... ☒

Question 5 ..... ☒

Enforcement of Youth Access ..... ☒

|   |   |
|---|---|
| Penalties for Violations of Youth Access Laws ..... | <input checked="" type="checkbox"/>                                 |
| Supporting Activities .....                         | <input checked="" type="checkbox"/>                                 |
| Question 6 .....                                    | <input checked="" type="checkbox"/>                                 |
| Sampling Methodology (Appendix B).....              | <input checked="" type="checkbox"/>                                 |
| Question 7 .....                                    | <input checked="" type="checkbox"/>                                 |
| SSES Used .....                                     | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| <i>If Yes</i> , SSES Summary Table 1.....           | <input checked="" type="checkbox"/>                                 |
| SSES Summary Table 2.....                           | <input checked="" type="checkbox"/>                                 |
| SSES Summary Table 3.....                           | <input checked="" type="checkbox"/>                                 |
| SSES Summary Table 4.....                           | <input checked="" type="checkbox"/>                                 |
| <i>If No</i> , Random Sample Survey Results.....    | <input type="checkbox"/>  |
| Form 1 .....  | <input type="checkbox"/>  |
| Form 2 (Optional) .....                             | <input type="checkbox"/>  |
| Form 3 .....  | <input type="checkbox"/>  |
| Sample Sizes .....                                  | <input type="checkbox"/>  |
| Form 4 .....  | <input type="checkbox"/>  |
| Question 8 .....                                    | <input checked="" type="checkbox"/>                                 |
| List Frame .....                                    | <input checked="" type="checkbox"/>                                 |
| Appendix D.....                                     | <input type="checkbox"/>  |
| Question 9 .....                                    | <input checked="" type="checkbox"/>                                 |
| Inspection Protocol (Appendix C) .....              | <input checked="" type="checkbox"/>                                 |
| Form 5 .....  | <input type="checkbox"/>  |
| <br><u>Section II (Intended Use)</u>                |   |
| Question 1 .....                                    | <input checked="" type="checkbox"/>                                 |
| Anticipated Changes .....                           | <input checked="" type="checkbox"/>                                 |
| Question 2 .....                                    | <input checked="" type="checkbox"/>                                 |
| State Plan .....                                    | <input checked="" type="checkbox"/>                                 |
| Question 3 .....                                    | <input checked="" type="checkbox"/>                                 |
| Challenges.....                                     | <input checked="" type="checkbox"/>                                 |
| .....   |   |

**TOBACCO OUTLET INSPECTION FORM**  
**Indiana Family and Social Services Administration**  
**Division of Mental Health and Addiction**

**Tobacco outlet address:**

Sample outlet name  
Sample outlet address  
Anytown, IN 46220

317-255-1234 ID#: ##-##-##

**Name/address correction(s):**

**Tobacco outlet status:**

- |                          |   |
|--------------------------|---|
| 1. Out of business       | 3. Inaccessible to juveniles (liquor store, bar or other adult entertainment) |
| 2. Does not sell tobacco | 4. Inspectable tobacco outlet   |

**INSPECTION RESULTS**

Date of Inspection: \_\_\_\_\_ - \_\_\_\_\_ - 2007

Time of Inspection: \_\_\_\_\_ - \_\_\_\_\_ AM PM

Clerk reaction:

1. Willing to sell  
2. Sale refused

Clerk's gender: 1. Male 2. Female

Clerk's apparent age:

- |             |            |
|-------------|------------|
| 1. Under 18 | 3. 27-45   |
| 2. 18-26    | 4. Over 45 |

Youth gender: 1. Male 2. Female

Youth age: 14 15 16

Officer name:

ID No.:

District:

Notes: